IG Fact Finding

Investigative Inquiries and Investigations

An Investigator's Purpose

- **Unwavering** commitment to standards
- Focus on Army **values**
- **Fairness** and equity to all personnel
- **Protect** the best interest of the Army
- Army first, **Soldiers** always
- **We work for the Commander!**

MAJ Chuck Slaney
Room 2106
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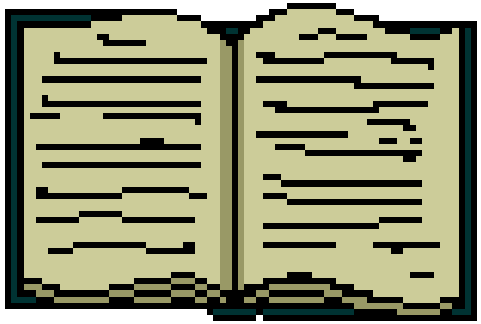
Outline

- ✓ Introduction
- IGAP
- How to Conduct IGPA
- Gathering the Facts
- Evaluating the Evidence
- Notification of Results
- Records Release
- Review

Introduction

- **References**
  - **AR 20-1, IG Activities and Procedures**
    - **Chapters 3 and 8**
  - **The Assistance and Investigations Guide**
  - **Student Text 2, Advance Sheets**
  - **Please have them available!**



Enabling Learning Objectives

- **Describe the differences between an IG investigative inquiry and an IG investigation**
- **Describe an individual's rights or non-rights given that person's role and status**
- **Describe how an IG plans an investigative inquiry or investigation**
- **Describe the use of command products -- and their impact -- in IG ROIs / ROIIs**

Enabling Learning Objectives

- **Describe the IG Standard of Proof**
- **Describe a request for IG information and the proper actions taken by the IG**
- **Describe the actions an IG should take upon receiving an allegation against a General Officer or Senior Executive Service (SES) civilian**
- **Explain that IG fact-finding is appropriate given an allegation and other circumstances**

IG Fact Finding

Enabling Learning Objectives

- **Explain which IG method – Investigative Inquiry or Investigation – is preferable for a particular case**
- **Analyze a complaint and identify the allegations and issues**
- **Demonstrate evidence-gathering activities by reviewing documents; analyzing data; and interviewing witnesses, subjects or suspects**
- **Complete a Report of Investigation (ROI)**

Introduction (cont'd)

- **IG Travel Guide**
- **Records Release Matrix**

Overview

- We will discuss how IG Investigations fit into the IGAP

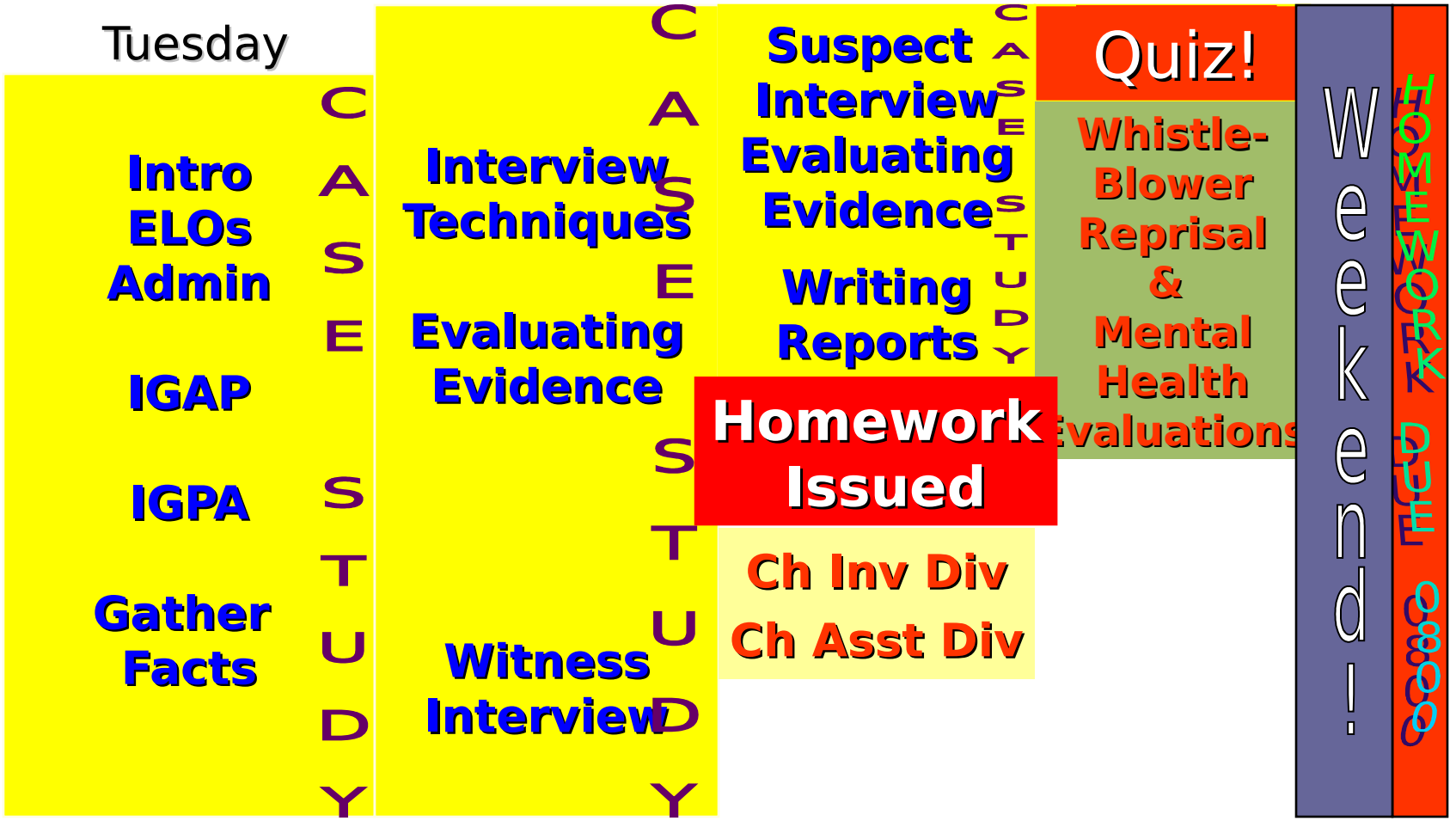
- IGs collect and evaluate evidence **to substantiate or not substantiate allegations**

Methodology

- Discussion
- Practical Exercises
- Homework
- Quiz

Investigations Instruction

IG Fact Finding



Vocabulary

ELO

Investigation –

F O R M A L

A fact-finding examination by a detailed IG into allegations, issues, or adverse conditions to provide the directing authority with a sound basis for decision and actions.

IG investigations normally address allegations of wrongdoing by an individual and are authorized by a written directive.

AR 20-1, paragraph 8-1b. (1)

Vocabulary

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INFORMAL

- **Investigative Inquiry:**
  - An informal fact-finding process to gather information needed to resolve an allegation.
  - Can be conducted by an assistant or a detailed IG
  - Authorized by a Command or State IG
  - AR 20-1, paragraph 8-1b(2)
- **Witness:**
  - Someone whom we believe has some knowledge to support or refute an allegation.
  - May also be a subject-matter expert (SME).
  - AR 20-1, paragraph 8-5a

Vocabulary

- **Subject:**

  Someone against whom a non-criminal allegation is made

  AR 20-1, paragraph 8-5a

- **Suspect:**

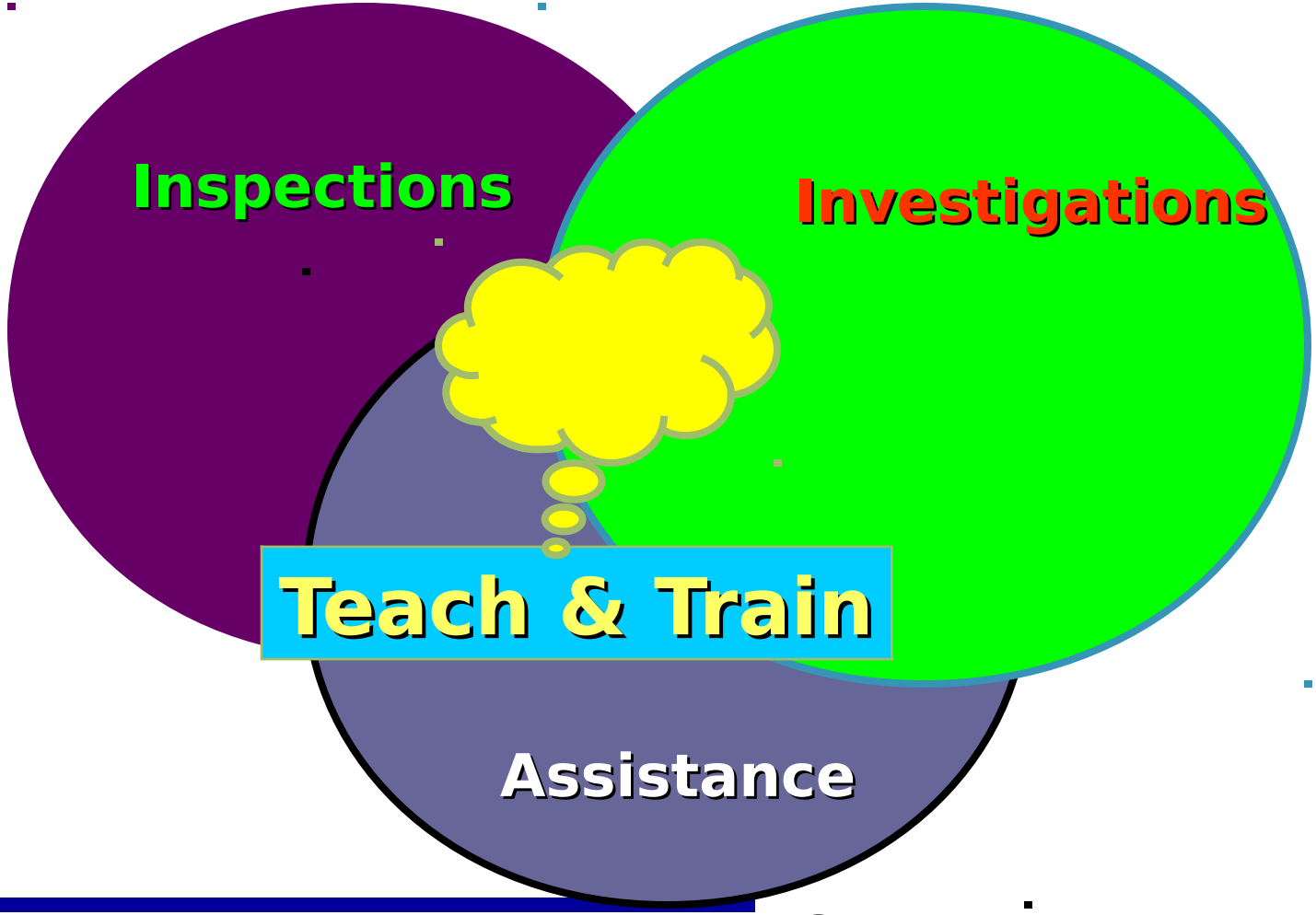
  Someone against whom a criminal allegation is made

  AR 20-1, paragraph 8-5a

Vocabulary

- **Directing Authority:**
  - **An Army official that has authority to direct an IG investigation.**
  - **Commanders or directors that have detailed IGs on their staffs may direct IG Investigations.**
  - **AR 20-1, paragraph 8-3d.**

Linked Functions



Summary

- **Define the following terms:**
  - **Investigation**
  - **Investigative Inquiry**
  - **Witness**
  - **Subject**
  - **Suspect**
  - **Directing Authority**

IG Fact Finding

Inspector General Action Process

- **Receive the IGAR**
- **Conduct IGPA**
- **Initiate Referrals / Make Notifications**
- **Obtain the Facts**
- **Make Notifications of Results**
- **Conduct Follow-up**
- **Close the IGAR**

Receive the IGAR

How can we receive IGARs?

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IGPA

- **What's the first thing we do after we receive the IGAR?**
- **How to read a complaint…**
- **Issues versus Allegations**

Allegation

- **Who**
  - Must be an individual
- **Improperly**
  - The word “improperly” shows wrongdoing
- **Did** (or did not do)
- **In Violation of a Standard**
  - A standard is law, regulation, or policy

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Who's Involved?

Complainant:

- Military, DoD Civilian, Contract Civilian, or Civilian Civilian?
- Anonymous?
- Injured Party?
- Third Party?
- Assigned where?

Who's Involved?

- **Subject / Suspect**
  - **Who?**
  - **Assigned where?**
  - **Status?**
- **Commander or Supervisor**

Typical Complaint

Our director, MR. JONES, is a real JERK. He has a clique of cronies that get all the good deals. The rest of us don't get anything. He also ordered new office furniture for himself and his SECRETARY. That is a real waste since we are laying off good workers. I also heard that he uses his frequent-flyer mileage for PERSONAL travel. He boasts that he is "IN TIGHT" with the General and that is why he can do whatever he wants to do. If you check, you can verify these things with Ms SMITH, Ms CLARK, Mr. CALVIN, and Mr. HOBBS. They know ALL about HIM.

A CONCERNED EMPLOYEE

Here's one left on your door last night!

IG Fact Finding

DEAR GENERAL,

COL Brown, the DPCA, is having an affair with the secretary.

Concerned and Jealous

P.S. He harasses all the women in DPCA!

Proper Allegation?

1. **COL Brown acted improperly in that he sexually harassed Ms Smith by asking her for dates on 20, 21, 22, and 25 JUL 2002 in violation of AR 600-20.**

2. **COL Brown sexually harassed Ms Smith by asking her for dates in violation of AR 600-20.**

How about these?

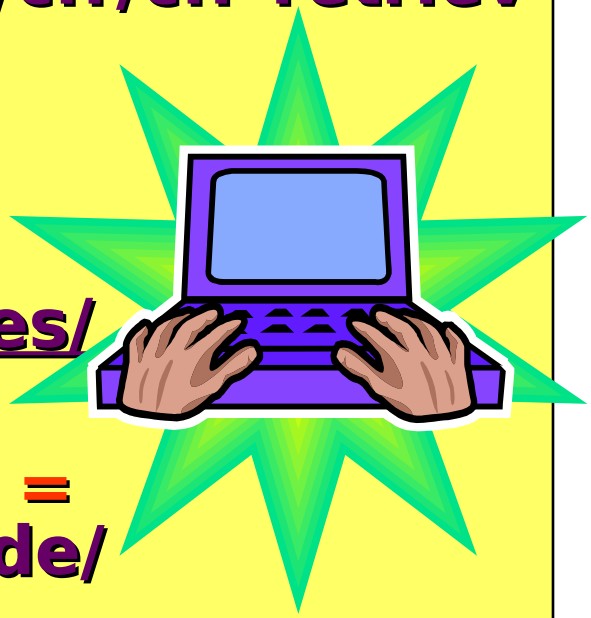
COL Brown improperly conducted an adulterous relationship with a female employee at Fort Von Steuben in violation of Article 134, UCMJ.

COL Brown improperly sexually harassed female employees in violation of AR 600-20.

Where to Find Standards

Web Sites

- **Code of Federal Regulations (CFR) = www.access.gpo.gov/nara/cfr/cfr-retrieve.html#page1**
- **DoD Directives = www.dtic.mil/whs/directives/**
- **United States Code (USC) = www.law.cornell.edu/uscode/**
- **Army Regulations = www.apd.army.mil/**



Summary

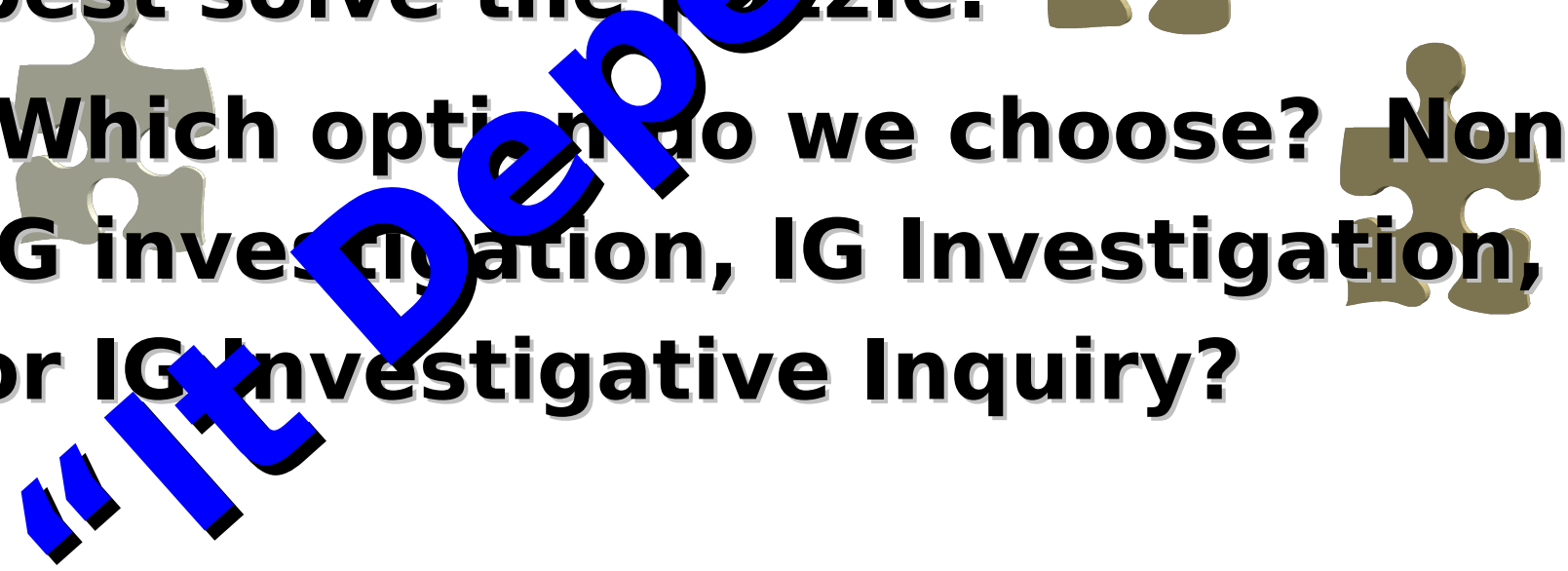
- **Define a properly worded allegation**
- **What / who are Civilian-Civilians?**
- **What is the difference between an issue and an allegation?**
- **Why do we analyze complaints for issues and allegations?**

MSG Camen

- What is MSG Camen's status?
- What type of complaint is this?
- Who is the office of record? Why?
- Who is the subject / suspect?
- What are the issues / allegations?
- What is the standard?
- What do we do now, IG?

Inspector General Preliminary Analysis

- During preliminary analysis, we must determine which option can best solve the puzzle.
- Which option do we choose? Non-IG investigation, IG Investigation, or IG Investigative Inquiry?



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IG Appropriate?

- **Punitive vs. Non-Punitive**
- **Criminal vs. Administrative**
- **IGs can inquire / investigate violations of laws, regulations, and policies / directives.**

AR 20-1, Para 8-3 b (1)

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Commander's Options:

- UCMJ Rule 303, CDRs Inquiry
- AR 15-6 Investigation
- UCMJ Article 32
- Criminal Investigation Division
- Military Police Investigation
- Chain of Command
- Civil Authority
- Inspector General
- Do Nothing

Command Products

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- **Referral**
- **Due Process IAW Regulation**
- **Legal Review**
- **ROI / ROII**
- **Database “S’ or “N”**

IG Fact-Finding Characteristics

- **Fair and Impartial**
  - IG is not an adversary or a champion
  - IGs do not recommend adverse action
- **Thorough – emphasis on facts**
- **Concerned with Confidentiality**
  - Limited distribution of information
  - Overt but *discreet*
  - Protect all individuals from reprisal / ridicule, including the accused

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Why Conduct an IG Investigative Inquiry or Investigation?

- **Meets Commander's Guidance**
- **Help determine a course of action**
- **Lack of factual information**
- **Identity of Subject / Suspect**
- **Sensitivity of allegations**
- **Protect reputations**
- **Confidentiality**

Summary

- **What are the implications to an IG Investigation / Investigative Inquiry if the standard cited in the allegation is criminal?**
- **Describe a commander's options when made aware of personal misconduct by a member of his or her command.**
- **Why conduct an IG Inquiry or Investigation?**

IG Fact Finding

Investigation versus Investigative Inquiry

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- Formal versus Informal
- Both equally as thorough
- High versus low degree of documentation
- Both are concerned with confidentiality
- Both are discreet
- Commander's Guidance

Obtain Authority-Inquiry

- **No formal authorization required**
- **Command or State IG may direct**
  - **AR 20-1, paragraph 8-4c(1)**
- **Based on Commander's guidance**

Gain Authority - Investigation

- **Requires a written directive from the directing authority. (CG / TAG / TIG)**
  - **AR 20-1, paragraph 8-4b(1)**
- **The detailed IG responsible for the investigation normally obtains the directive.**
- **The IG prepares an Action Memorandum to request the written directive.**

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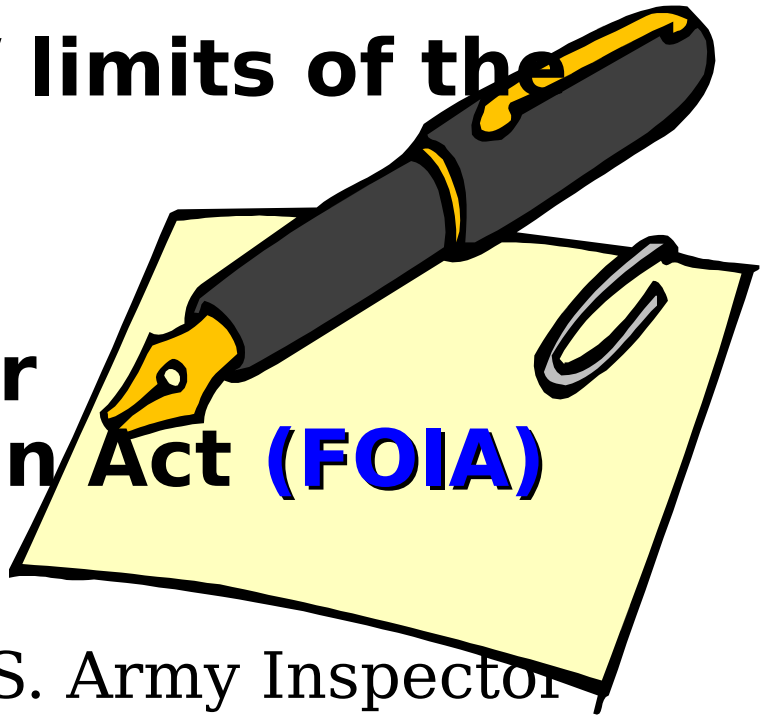
Action Memorandum
Part II, Section 2-9-3

- Gives background information
- States the allegation(s)
- Summarizes the case
- Provides the scope / limits of the investigation
- Includes SJA opinion
- Not releasable under Freedom of Information Act (FOIA)



Directive – Part II, Section 2-9-4

- **Authorizes the investigation**
- **General description of the allegation**
  - **Names are not included to protect confidentiality**
  - **Directive is presented to all individuals who are interviewed to show your authority to conduct the investigation**

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Action Memo + Directive

- **Ensures a clear, mutual understanding between the IG and the directing authority concerning what is to be investigated.**

- **The IG's contract with the Directing Authority**

- **Protects the IG from civil liability**

Summary

- **What are the differences between IG Investigative Inquiries and Investigations?**
- **What is the purpose of-- and contents of -- the Action Memorandum and Directive?**
- **Does the Action Memorandum require a SJA opinion?**

ADMINISTRATIVE DUE PROCESS

IG Fact Finding

Rights and Non-Rights

IG FACT FINDING

ELO

ADMINISTRATIVE DUE PROCESS

Rights and Non-Rights for:

WITNESSES

SUBJECTS

SUSPECTS

(The Assistance and Investigations Guide, Part II, Section 4-4, pg II-4-4-3

Categories of Individuals

Witness:

Someone whom we believe has some knowledge to support or refute an allegation. May also be a Subject-Matter Expert (SME).

(The Assistance and Investigations Guide, Part II, Section 4-1, pg. II-4-1-1)

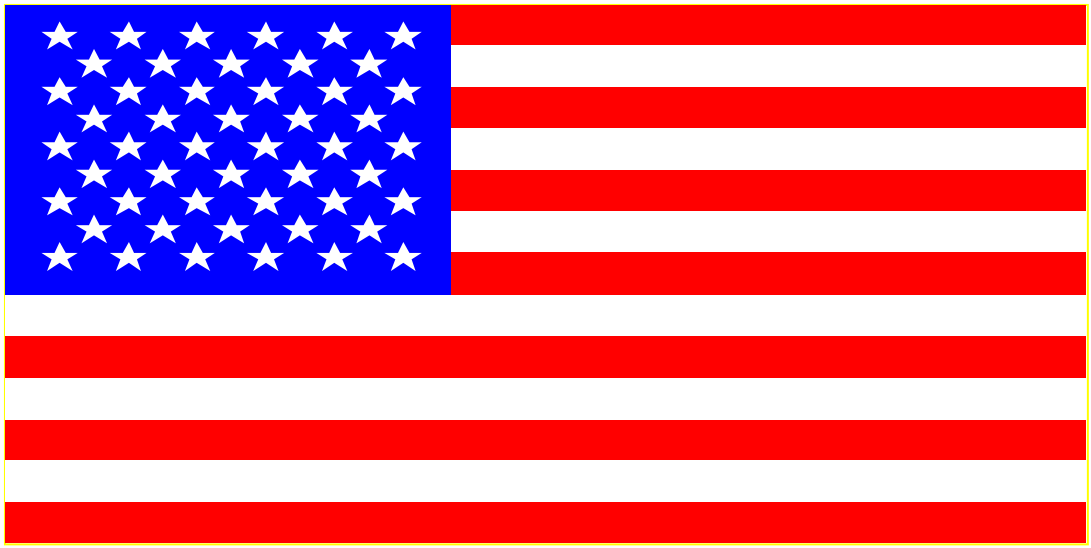
Categories of Individuals

- **Subject**
  - **Someone against whom a non-criminal allegation is made.**
- **Suspect**
  - **Someone against whom a criminal allegation is made.**

(The Assistance and Investigations Guide,
(Part II, Section 4-1, pg. II-4-1-1)

IG Fact Finding

Rights and Non-Rights



(The Assistance and Investigations Guide, (Part II, Chapter 4)

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Rights

- **Know and Comment on Allegations (Subject / Suspect)**
- **Know and Comment on Unfavorable Information (Subject / Suspect - others conditional)**
- **Know Rights Under Article 31 (not custodial) (Suspect)**
- **Have a Union Representative Present (DoD**

A & I Guide part II, pg. II-4-2-2

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Rights and Non-Rights

Rights (cont'd)

Have Counsel Present (Suspect)

Consult with Counsel (Everyone)

Confidentiality (Everyone but…?)

Review Own Testimony (Everyone)

Avoid Self Incrimination (Everyone)

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Rights and Non-Rights

Non-Rights

- Know the identity of witnesses
- Be present during questioning of ot[illegible]s
- Question others
- Review evidence
- Have a friend present during questi[illegible]
- Record / take notes during an interv[illegible]
- Remain silent (witnesses and subjec[illegible]

Witness Cooperation

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IG Fact Finding

Army

Active Duty

Reserve (Federal Status)

National Guard (Federal Status)

Other DoD Military and Civilians

Civilians not employed by the DoD

(Civilian / Civilians)

(The Assistance and Investigations Guide, Part II, Section 4-4, pg. II-4-4-1)

Summary

- **What are a suspect's rights during an IG Investigative Inquiry or Investigation?**
- **What are a subject's rights during an IG Investigative Inquiry or Investigation?**
- **What are a Civilian-Civilian's rights during an IG Investigative Inquiry or Investigation?**

Initiate Referrals / Make Notifications

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A ROI / ROII is required to substantiate or not substantiate an allegation

ding

- **If a non-IG investigation is appropriate at this time, we will refer it to the proper authority.**
  - **What can we provide a non-IG investigating officer?**
  - **AR 20-1, paragraph 3-6i (1), (2), (3)**
- **If an IG investigation or investigative inquiry is appropriate, we must verbally notify the subject / suspect's commander or supervisor.**
- **If an IG investigation or investigative inquiry is appropriate, we must verbally notify the subject / suspect.**

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Notifications

- **Commander / Supervisor:**
  - **Verbally notify appropriate commanders and or supervisors of the investigation (inquiry) and inform them of the nature of the allegations.**
  - **(AR 20-1, paragraph 8-4 b(2)**

(The Assistance and Investigations Guide

Part II, Section 3-2)

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Notifications

- **Subject / Suspect:**
  - **Verbally notify the subjects or suspects of the investigation (inquiry) and inform them of the nature of the allegations**

(AR 20-1, paragraph 8-4b(2))

(The Assistance and Investigations Guide Part II, Section 3-2)

Other Required Notifications

- **Allegations against a senior NCO or an Army Officer**
  - **Allegations against a MSG, SGM or CSM, MAJ, LTC, or COL**
  - **Report allegations to DAIG-AC within two working days (AR 20-1, paragraph 8-3g.)**

- **Slotmeisters - Slot #7: Let's Notify LTC Custer and his Commander / Supervisor**

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Other Required Notifications

- **Allegations against an IG:**
  - Report allegations against IGs to the next higher-echelon IG for appropriate action within two working days
  - (AR 20-1, paragraph 8-3h)

- **Allegations against COLs(P), GOs and SESs:**
  - Report allegations against Senior Officials to DAIG-IN within two working days
  - (AR 20-1, paragraph 8-3i)

Summary

- **What are the notification requirements during an IG Investigation (you are the office of record)?**

- **Must a DA Civilian employee cooperate with an IG Investigative Inquiry or Investigation?**

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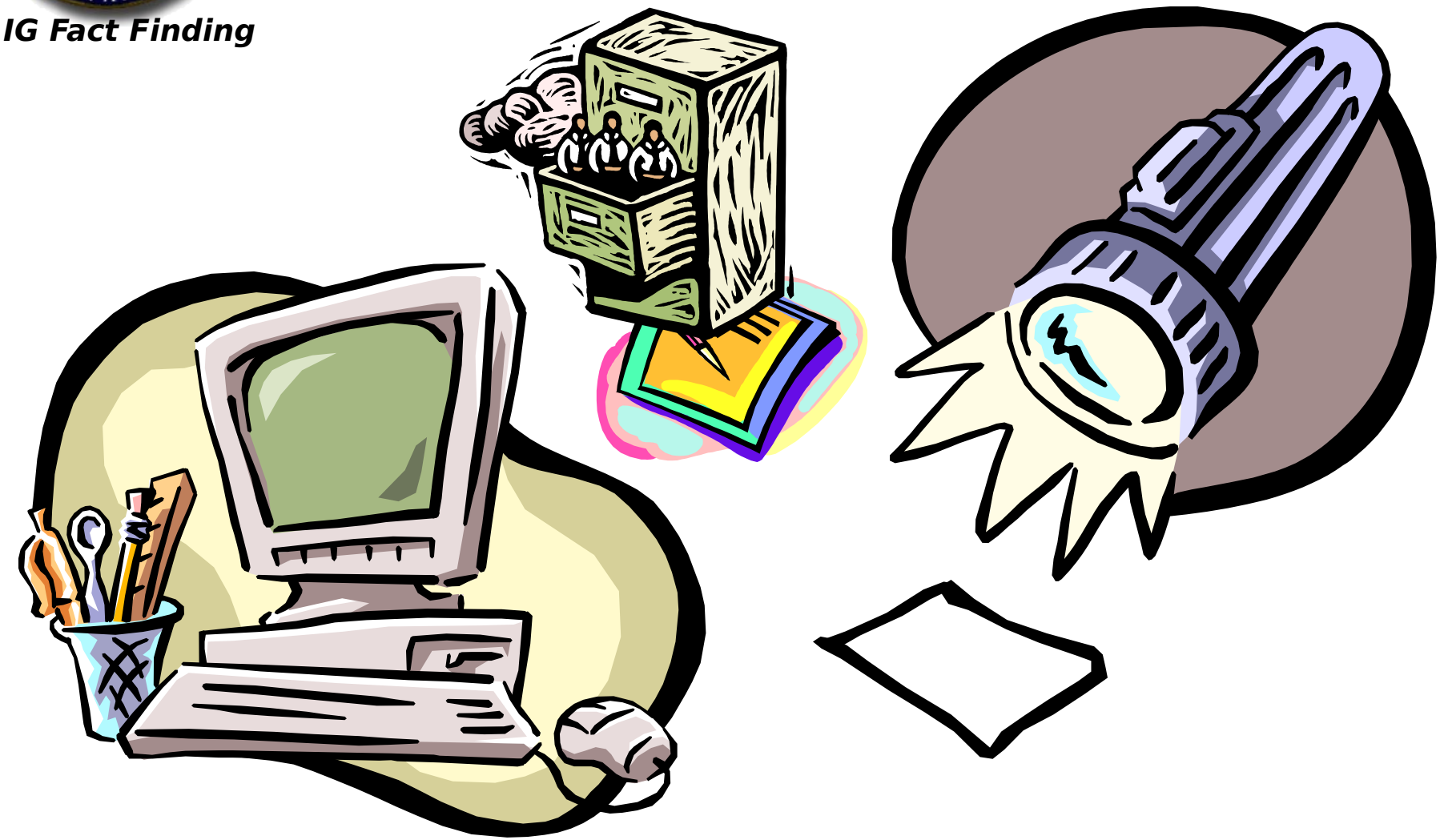
Obtain the Facts -- Plan

- **No requirement for a written / formal plan**
- **Recommended scope and format:** **Part II, Section 5-3, pg. II-5-3-1**
  - **Mission**
  - **Facts bearing on the mission**
  - **Defines standard**
  - **Evidence and data required**
  - **Witnesses, documents, and other evidence**
  - **Administrative matters**
  - **Itinerary, notifications, personnel actions**
- **Minimum Plan: Identifies witnesses**
  - **Questions for interviews (interrogatories)**
  - **Order of Witness Interviews**
  - **Location for interviews**
  - **Time of each interview**

Gather the Evidence

IG Fact Finding



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Categories of Evidence

- Documentary
- Physical (objects / conditions)
- Oral statements
  - Sworn and recorded testimony
    - Transcribed
    - Summarized
  - Statements (not sworn)
- IG's personal observations

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Levels of Evidence

IG Fact Finding

Value

Low

High

Opinion - A person's belief or judgment

Hearsay - What one individual says another person said

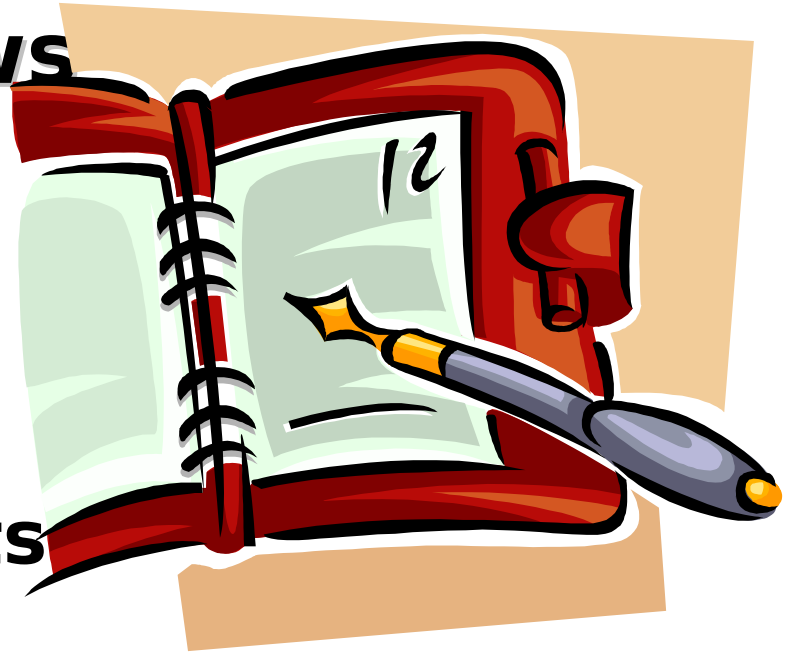
Circumstantial - Tends to prove or disprove an issue by inferences

Direct – First-hand knowledge

Fact - Things that are known to have happened and things that are known to be true (two or more sources of information are required)

Execute Your Plan

- **Collect documents**
- **Collect physical evidence**
- **Conduct interviews**
  - **Complainant**
  - **Experts**
  - **Witnesses**
  - **Subjects / Suspects**



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Execute Your Plan

- **Evidence in an IG investigation is usually sworn testimony.**

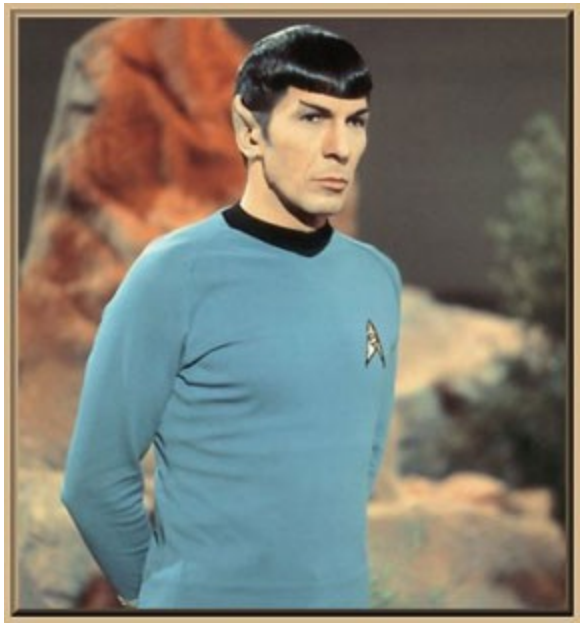
- **How many witnesses do we interview?**
  - **Minimum number necessary to substantiate or refute the allegation(s)**
  - **Don't overkill!**

IG Fact Finding

Execute Your Plan

Beware of Logic Traps!

Rational Logic versus Irrational Logic



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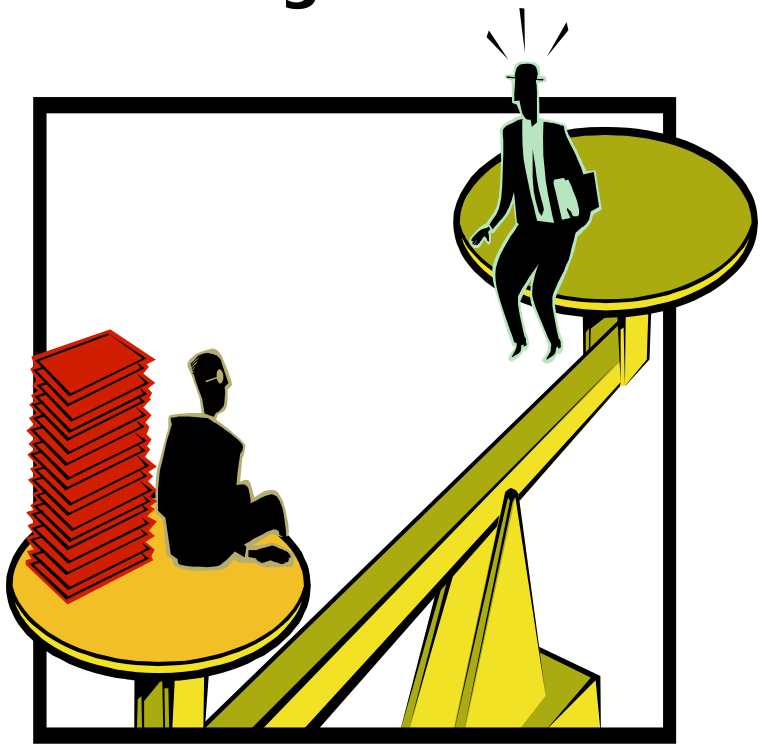
IG Standard of Proof

- **Preponderance of credible evidence**
  - **That evidence which has more weight**
  - **>50%**
  - **"More likely than not"**

- **Only two conclusions:**

  Substantiated "S"

  Not Substantiated "N"



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Interviews

Keys to success:

- **Preparation**
- **Attitude and Demeanor**

- Ability to:

- Put witness at ease
- Maintain impartiality
- Adapt

LISTEN!

OBSERVE!

– No Surprises

– Get the witness to introduce the facts

Interviews

Tactics and Techniques

- **Free Narrative**

  "Tell me what you know about Ms Smith."

- **Direct Examination**

  "Where did you go with Ms Smith on the night of 15 January 2003?"

- **Cross Examination**

  "Earlier you stated that you 'had fun with Ms Smith.' Please define 'fun' in your own words."

Interviews

Developing an Interrogatory

- What is / are the elements of proof?
- Develop the key facts to meet the elements of proof

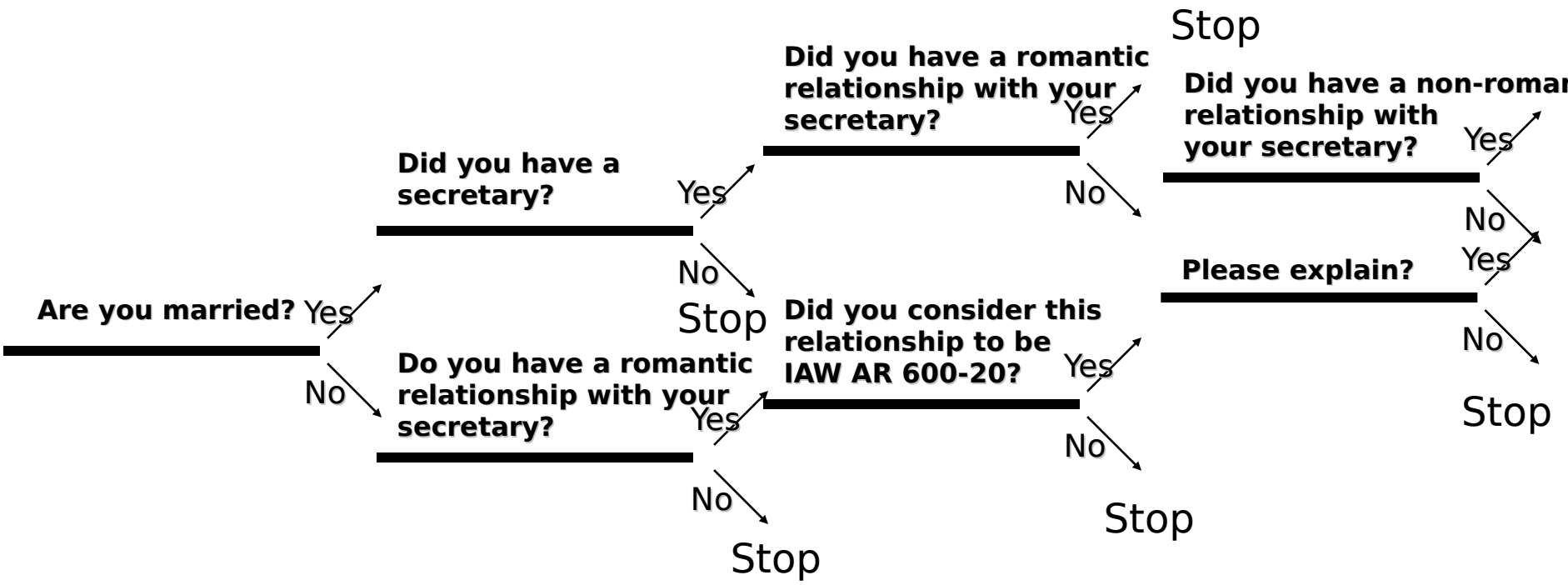
Who
What
When
Where
Why
How
How many / much

W5 H2

IG Fact Finding

Interviews

Developing an Interrogatory

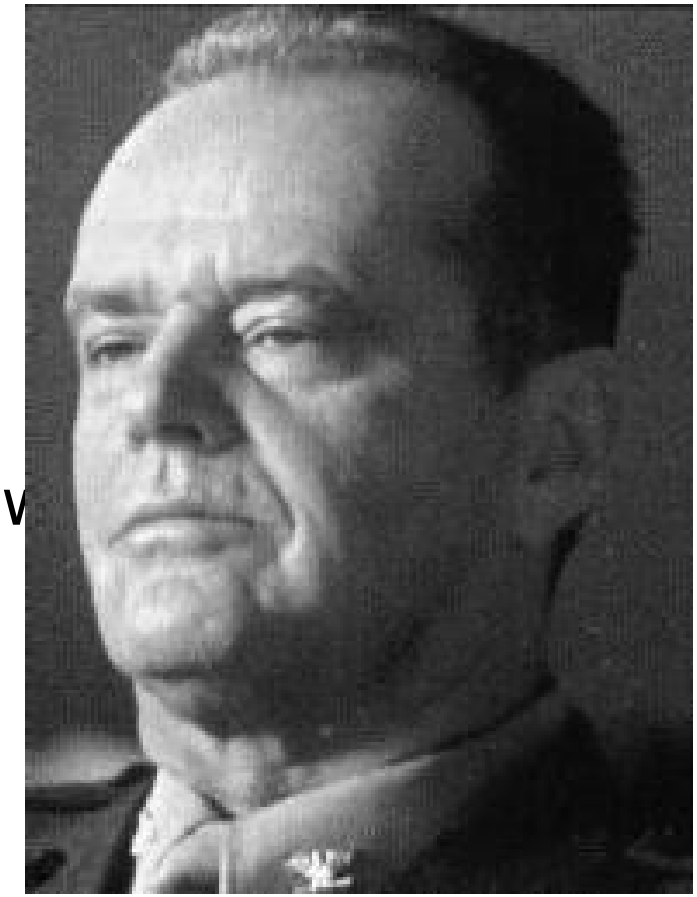


Interviews

IG Fact Finding

Avoid:

- Being defensive
- Asking:
  - **Yes or No questions**
  - **Leading questions**
  - **Irrelevant questions**
- Losing control of interview
- Losing your temper
- Interrupting the witness
- Giving advice or counsel
- Being intimidated



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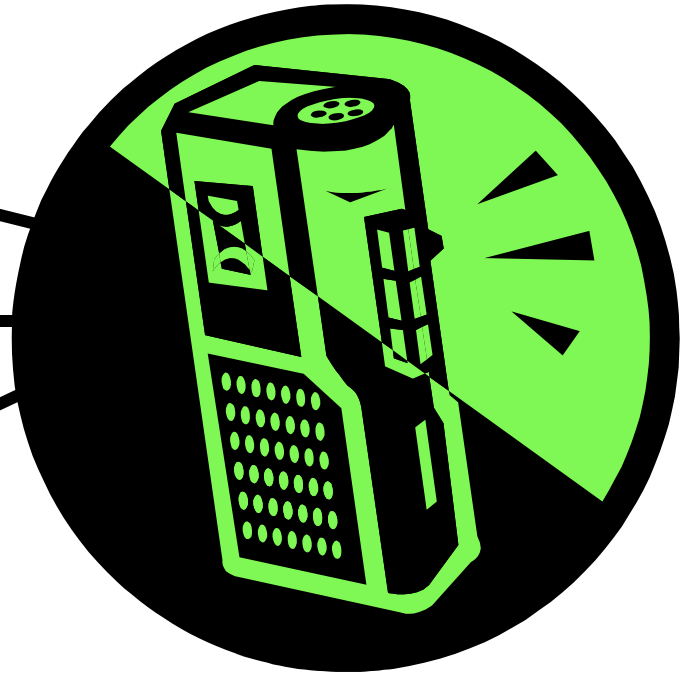
Interviews

Four-Step Process

1. Pre-tape briefing (off tape)
2. Read-in (on tape)
3. Questioning (on tape)
4. Read out (on tape)



Interviews

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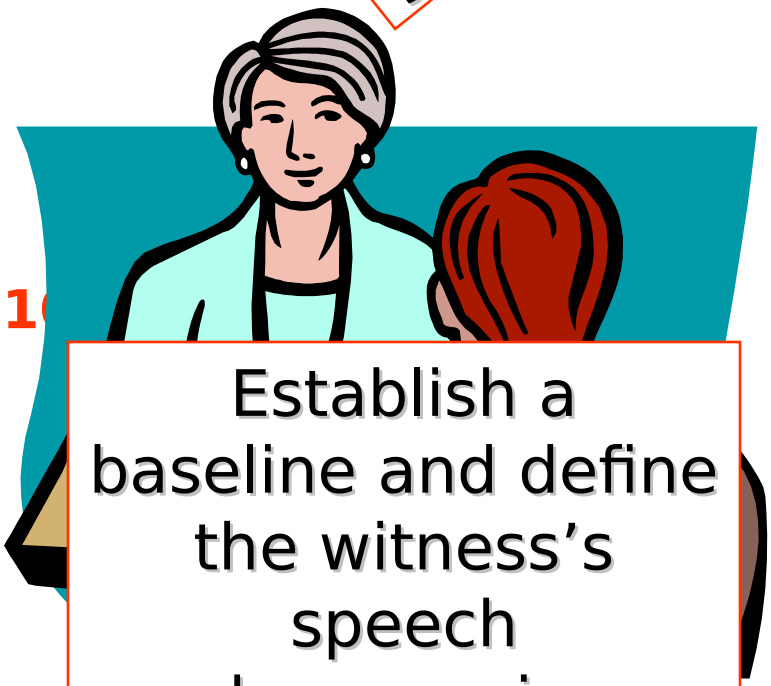
Establish Rapport

Lay down the ground rules

- **Pre-tape briefing** **Part II, Section 7-7**
  - **IG Role**
  - **Process and Confidentiality**
  - **FOIA**
  - **Privacy Act (Section 7-7-9)**
  - **Header Sheet (Section 7-7-1**
  - **Rights (Section 7-8)**
    - **Swearing / Affirming Oaths**
    - **Recent change to AR 20-1**



Establish a baseline and define the witness's speech and mannerisms.

Categories of IGs

Table 2-1, AR 20-1

IG Fact Finding

Category	IG Functions May Lead/*Do*
• **Detailed IG** (Commissioned Officer)	• All functions / *All functions*
• **Assistant IG** (WOs/NCOs/DACs)	• Assist & Train / *All*
	• None / *Assists with inspections & investigations*
• Temporary Asst IG ("Subject Matter Expert")	• None / *Assistance only. Must be supervised by detailed IG*
• Acting IG (Commissioned Officer AD)	• None / *None. Admin only*

Note: Change to AR 20-1 (para 2-2d(3)) Administering oaths!

Witness Interviews via Telephone

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IG Fact Finding

Telephone Pre-tape Script

Read-In **(Appendix A, pg 7)**

- **Person's status?**

Questions

Read-Out

- **FOIA Release**

It's now time to interview The Energizer! – Slot #16

Suspect Interviews

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IG Fact Finding

Read-In **(Appendix A, pg 21)**

- **Person's status?**

Questions

Read-Out

- **FOIA Release**

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Evaluate the Evidence

IG Fact Finding

- **Analyze for accuracy, veracity, and relevance**
- **Check for inconsistencies and corroboration**
- **Summarize redundancies**
- **Determine and correct voids**
- **Draw clear and supported conclusions**
- **Use your best judgment**

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Building the ROI / ROII
Part II, Section 9-4

- **Executive Summary**
  - Name / Position
  - Authority
  - Background
  - Synopsis

- **Consideration of Allegations**
- **Other Matters**
- **Recommendations**
  - Approve the case
  - Close the case
  - Appoint a follow-on Investigator

- Allegation
- Standard
- Key Evidence
- Compare Evidence against the Standard
- Conclusion

Building an ROI

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IG Fact Finding

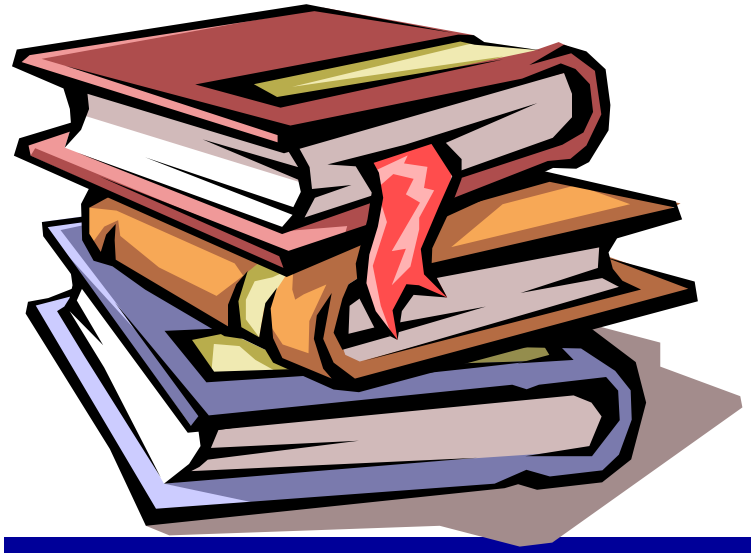
STANDARDS

DOCUMENTS

TESTIMONIES

1. ALLEGATION
   a. EVIDENCE
      (1) _____
      (2) _____
      (3) _____
   b. DISCUSSION
   c. CONCLUSION

ACTION MEMO



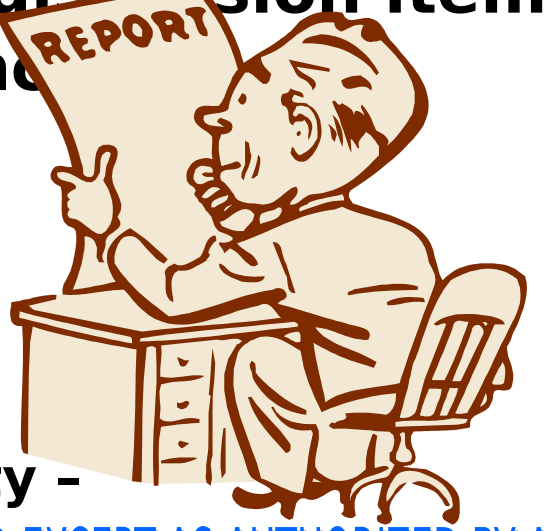
2. ALLEGATION
   a. EVIDENCE
      (1) _____
      (2) _____
      (3) _____
   b. DISCUSSION
   c. CONCLUSION

ELO

ROI Tips

IG Fact Finding

- **Allegations: Be clear and concise**
- **Standards: Use the correct one(s)**
- **Evidence: Address elements of the standard(s)**
- **Discussion: Ensure that discussion items are introduced as evidence**
- **Style:**
  - **Past tense**
  - **Use “alleged”**
  - **Testified vs. stated**
  - **Use IO notes only for clarity – avoid opinion / emotion**



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Example ROI / ROII

1. ALLEGATION: Ms Doe improperly abused her authority by acting in a discourteous and disrespectfu manner to her subordinate employees in violation of DoD Directive 1400.5 and AR 600-100.

2. EVIDENCE:

a. Standards:

(1) DoD Directive 1400.5, DoD Policy for Civilian Personnel, ***dated*** ... stated ***in paragraph***...(EXHIBIT

(2) AR 600-100, Army Leadership, ***dated ,*** stated **in paragraph x-x that "**Army leaders were responsible for treating subordinates with dignity, respect, fairness, and consistency." (EXHIBIT B-2)

Example ROI / ROII

b. Documents:

(1) In a memorandum dated 18 March 1996, subject: Ms Doe Meeting, Mr. Vik Tim, GS-13, Deputy Director, Law Enforcement and Security Division, Fort Woebegone, described an encounter with Ms Doe. Ms Doe, who had gotten a speeding ticket, called him o 18 March 1996 and began a lengthy and abusive tirade about poor MPs. Ms Doe was irrational, highly agitated out of control, loud, and used expletives. Ms Doe also called him at home and screamed about the police. Ms Doe's actions were intimidating. (EXHIBIT C-1)

Example ROI / ROII

(2) In a handwritten note dated 26 February 1999, CPT Bret Maverick, GOTCOM Police Force, stated that on 25 February 1999, he stopped Ms Doe's car from driving onto a range that had just been closed for a security sweep. Ms Doe yelled, moved her arms, and said: **"**Damn it, I own you people**."** He directed Ms Doe to park by the road, and she complied. (EXHIBIT C-2)

[IO Note: On 15 November 1999, CPT Maverick confirmed he had given the note to Mr. Tim, and the incident had taken place as he described it in the not

Example ROI / ROII

c. Testimony

(1) Ms Goodyie Tooshuz, GS-7, Management Assistant, GOTCOM, testified on 14 January 2003 that she worked at GOTCOM for two years. She worked directly for Ms Doe. Ms Doe had never been rude to her, and she liked Ms Doe. Ms Doe could be a very hard person. She (Ms Doe) expected people to do their jobs, and she did not like to repeat things. Ms Doe was loud, but she (Ms Doe) did not scream at people. Some people felt intimidated by Ms Doe. She had heard Ms Doe say, “Damn it” and, when Ms Doe was frustrated, “Crap.” Ms Doe cursed at events, not people. She did not think Ms Doe talked down to people; Ms Doe was just loud and it seemed that way. Ms Doe was hard of hearing and that affected Ms Doe's speech. (EXHIBIT D-1)

Example ROI / ROII

3. DISCUSSION:

(1) Complainants alleged that Ms Doe treated her subordinate employees with rudeness and disrespect. Army regulations required Army leaders to treat their subordinate employees with dignity, respect, fairness, and consistency and stated that discipline was appropriate for Army employees who were discourteous and used abusive or offensive language.

(2) The preponderance of evidence indicated that in the presence of her subordinate employees, Ms Doe frequently yelled, screamed, or spoke loudly; used abusive or offensive language; was discourteous and disrespectful; caused her employees to feel intimidated or fearful; displayed anger and impatience; and was argumentative with GOTCOM law-enforcement officers. While a few witnesses testified Ms. Doe was a caring but misunderstood person who had the interests of her employees at heart, most witnesses described serious problems with her professional behavior.

Example ROI / ROII

4. CONCLUSION: The allegation that Ms Doe abused her authority by acting in a discourteous and disrespectful manner to her subordinate employees in Violation of DoD Directive 1400.5 and AR 600-100 was substantiated.

5. OTHER MATTERS: Allegations made by the Anonymous complainant against Ms Doe also included Criminal allegations against two other GOTCOM employees: Mr. Izzy A. Krook, GS-12, and Ms Nadja Innocente, GS-9.

Example ROI / ROII

6. RECOMMENDATIONS:

a. The report be approved and the case be closed.

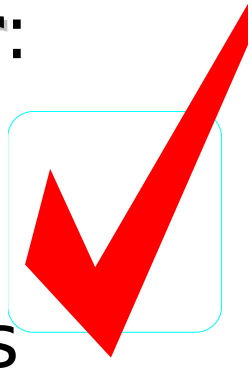
b. Ms Doe and COL Supervisor be notified of the results of the investigation.

c. Refer the issues in OTHER MATTERS to CID for appropriate action.

d. File this report as YYY 03-XXXXX.

Obtain Commander's Approval

- **Seek SJA review and legal sufficiency**
- **Hand-carry ROI to Directing Authorit**
- **Usually brief results to Commander**
- **Commander**:
  - Approves
  - Modifies
  - Disapproves
  - Directs additional action



IG Fact Finding

Use of Command Products

- **Notification Requirements**
  - Initial and final
- **Command Product Suitability**
  - Investigations / Investigators IAW applicable regulat
  - Legal review
  - Addressing all issues / allegations
- **Command product use**
  - Use only as evidence
- **Resolving disagreements**
  - Legal review
  - Not concurring with finding(s**)**

ELO

Notifications (Investigation)

- **Commander / Supervisor:**
  - **Notify the appropriate commanders or supervisors of the approved results of the Investigation in writing and enclose the notifications in the ROI**

(AR 20-1, paragraph 8-4b(7))

The Assistance and Investigations Guide, Part II, Section 10-1)

Notifications (Investigation)

ELO

- **Subject / Suspect:**
  - **Notify the subject or suspect of the approved results of the Investigation in writing and enclose the notifications in the ROI.**

(AR 20-1, paragraph 8-4b(7))

The Assistance and Investigations Guide, Part II, Section 10-1)

ELO

Notifications (Inquiry)

- **If the allegations in an investigative inquiry are substantiated, Army IGs must formally notify the subject / suspect in writing as to the conclusions.**

  (AR 20-1, paragraph 8-4d)

The Assistance and Investigations Gui

Part II, Section 10-1)

Conduct Follow-up

- **Follow-up ensures that all issues have been thoroughly addressed and IG responsibilities have been fulfilled**
- **IGs' primary concern is with ensuring that IG actions, command decisions, or proponent actions were completed**
- **Review for appeals or due-process actions**
- **AR 20-1, paragraph 4-9**

Close the IGAR

- **Provide the Complainant a final reply**
  - **Should be written but may be verbal**
  - **Only results that pertain to the complainant**
  - **AR 20-1, paragraph 4-10**
- **Close the case in the IGARs database**

What Do You Do…?

When you uncover evidence of additional improprieties?

When you receive allegations against a GO or SES?

When a witness incriminates himself?

When a witness refuses to cooperate?

When you uncover evidence of wrong-doing by a civilian-civilian?

When handing off to a follow-on investigator?

When you have completed your case?

QUESTIONS?